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PATENT  
ATTORNEY DOCKET NO. 0055/057001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Hiroaki MATSUMURA                      Art Unit: 2828  
Application No.: 10/720,759                      Examiner: Harvey, M.  
Filed : November 25, 2003  
Title : RIDGE WAVEGUIDE SEMICONDUCTOR LASER DIODE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to their duty of good faith and candor as set forth in 37 CFR 1.56(a), applicant requests that the references cited on attached form PTO-1449 (a copy of which is enclosed) be considered by the Examiner in connection with the search of the prior art required by 37 CFR 1.104.

Enclosed also please find a copy of the European Search Report citing these references. The relevance of these references can be seen from the European Search Report.

Enclosed are seven new references that were cited and discussed in European Patent Office communication mailed on December 22, 2004 in a counterpart application. The relevance of these references also can be seen from the enclosed European Patent Office communication.

It is noted that the publication by Mr. Kinji Sugiyama listed on the European Patent Office Search Report dated February 26, 2004, includes the incorrect volume number, year and page numbers. This information was corrected on page 2 of the European Patent Office communication dated December 22, 2004 and this information is included in the form PTO-1449 submitted herewith.

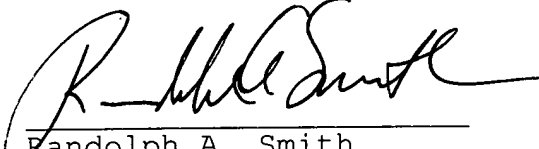
This Statement is being filed under 37 CFR 1.97(b) prior to the mailing date of a first Office Action on the merits.

It is respectfully requested that the above information be considered by the Examiner and that a copy of the enclosed Form PTO-1449 be returned indicating that such information has been considered.

Information Disclosure Statement  
Application No.: 10/720,759  
Page 2

Applicant's undersigned attorney may be reached at the telephone number listed below. All correspondence should continue to be directed to our address below.

Respectfully submitted,

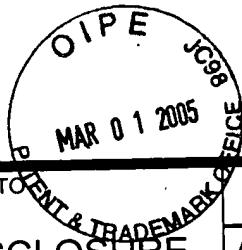
  
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Randolph A. Smith  
Reg. No. 32,548

Date: March 1, 2005

**SMITH PATENT OFFICE**

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Substitute for form 1449A/PTO

Complete if Known

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 2

|                        |                   |
|------------------------|-------------------|
| Application Number     | 10/720,759        |
| Filing Date            | November 25, 2003 |
| Applicants             | Hiroaki MATSUMURA |
| Group Art Unit         | 2828              |
| Examiner Name          | Harvey, M.        |
| Attorney Docket Number | 0055/057001       |

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| EXAMINER<br>INITIAL* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T <sup>2</sup> |
|----------------------|--------------------------|--|----------------|
|                      |                          | SUGIYAMA, K. "Deterioration Mechanisms in Metallization of Si Devices" Sanken Technical Report, 1995, pp. 19-27, Vol. 27, No. 1, Sanken Electric Co., Ltd., Japan.   |                |
|                      |                          | GOCKE, O. H. et al. "Effects of Annealing on X-Ray-Amorphous CVD W-Si-N Barrier Layer Materials" Thin Solid Films, September 1999, pp. 149-156, Vol. 353, Nos. 1-2, Elsevier Science S. A., Lausanne, CH   |                |
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EXAMINER

DATE CONSIDERED

\*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.